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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard W. Friesen et al.	Examiner: Charles Kyle
Serial No.: 09/289,550	Art Unit: 3624
Filed: April 9, 1999	
Title: USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM	

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 CFR §1.97(c) WITH CERTIFICATION**

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56 and pursuant to 37 CFR §§1.97-1.98, Applicants hereby notify the U.S. Patent and Trademark Office of the references listed on the enclosed Form PTO-1449. One copy of each cited reference is submitted herewith.

The present Supplemental Information Disclosure Statement is being filed after receiving the first office action and before receiving an action closing prosecution on the merits.

Accordingly, as specified in §1.97(e)(1), Applicants' undersigned attorney hereby certifies:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

The Examiner is requested to make this information of official record in the application. Please initial and return the enclosed Form PTO-1449, indicating that the references have been considered and made of record herein.

The information presented herewith is not to be construed as a representation that: (i) a search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

If for any reason an insufficient fee has been paid, please charge the insufficiency to Deposit Account No. 05-0150.

Date: 11/7/03

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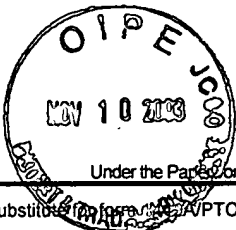
Respectfully submitted,

By: M A Sockol
Marc A. Sockol
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Reg. No. 40,823

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231, on

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

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of

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Application Number	09/289,550
Filing Date	April 9, 1999
First Named Inventor	Richard W. Friesen
Art Unit	3624
Examiner Name	Kyle, Charles
Attorney Docket Number	36992.00106

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-4,750,135	06-07-1988	Boilen, Shelly	
		US- 4,903,201	02-20-1990	Wagner, Susan W.	
		US- 5,038,284	08-06-1991	Kramer, Robert M.	
		US- 5,077,665	12-31-1991	Silverman et al.	
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		US- 5,774,877	06-30-1998	Patterson, Jr. et al.	
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		US- 5,924,082	07-13-1999	Silverman et al.	
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		US- 5,963,923	10-05-1999	Garber, Howard B.	
		US- 6,012,046	01-04-2000	Lupien, et al.	
		US- 6,014,643	01-11-2000	Minton, Vernon F.	
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		US- 6,131,087	10-10-2000	Luke et al.	
		US- 6,134,535	10-17-2000	Belzberg, Sydney H.	
		US- 6,195,647	02-27-2001	Martyn et al.	
		US- 6,282,521	08-28-2001	Howorka, Edward R.	
		US- 6,408,282	06-18-2002	Buist, Walter D.	
		US- 6,418,419	07-09-2002	Nieboer et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵				
		WO 95/26005 A1	09-28-1995	Belzberg, Sydney H.		
		WO 00/52619 A1	09-08-2000	WIT CAPITAL CORPORATION		

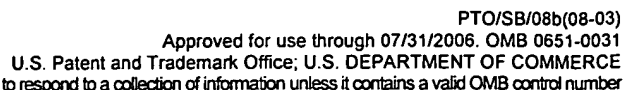
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Complete if Known

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Art Unit	3624
Examiner Name	Charles Kyle
Attorney Docket Number	36992.00106

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